

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new non-provisional applications under 37 C.F.R. § 1.53(b))</small>		Attorney Docket No. <span style="float: right;">AFD 639</span>	
		First Inventor or Application Identifier <span style="float: right;">Ivan A. Aksenov</span>	
		Title <span style="float: right;">FILTERED CATHODIC-ARC PLASMA SOURCE</span>	
		Express Mail Label No. <span style="float: right;">EE380648395US</span>	

**APPLICATION ELEMENTS**  
See MPEP chapter 600 concerning utility patent application contents

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)

2. ☐ Applicant claims small entity status  
(See 37 CFR 1.27)

3. ☒ Specification [ Total Pages 33 ]  
(Preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross Reference to Related Applications  
 - Statement Regarding Fed sponsored R&D  
 - Reference to sequence listing, a table, or a computer program listing appendix  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [ Total Sheets 21 ]

5. Oath or Declaration [ Total Pages 2 ]

a. ☒ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** MS Patent Application  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria VA 22313-1450

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ Paper

c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))

10. ☐ 37 CFR 1.373(b) Statement ☒ Power of Attorney

11. ☐ English Translation Document (if applicable)

12. ☒ Information Disclosure Statement (IDS) PTO/SB/08A ☒ Copies of IDS Citations

13. ☐ Preliminary Amendment

14. ☒ Return Receipt Postcard (MPEP 503) (should be itemized)

15. ☐ Certified Copy of Priority Document(s)

16. ☒ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach for PTO/SB/35 or its equivalent.

17. ☒ Other: Certificate of Express Mailing

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76

☐ Continuation   
 ☐ Divisional   
 ☐ Continuation in Part (CIP)   
 of prior application No: \_\_\_\_\_

Prior application information:   
 Examiner: \_\_\_\_\_   
 Group / Art Unit: \_\_\_\_\_

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5B, is considered to be a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label   
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Name (Print / Type)	GERALD B. HOLLINS	Registration No. (Attorney / Agent)	25,452
Signature			Date <u>Oct 21 2003</u>

 031088 U.S. PTO  
 10/693482

102103

# FEE TRANSMITTAL for FY 2004

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) 1054.00

## METHOD OF PAYMENT

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

Deposit Account Number

AF 01-0465

Deposit Account Name

Department of the Air Force

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1001	770	2001	385	Utility Filing Fee	770
1002	340	2002	170	Design Filing Fee	
1003	530	2003	265	Plant Filing Fee	
1004	770	2004	385	Reissue Filing Fee	
1005	160	2005	80	Provisional Filing Fee	

**SUBTOTAL (1)** \$ 770.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
31	11	18	198
Indep. Claims	4	86	86
Multiple Dependent			

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	**Reissue independent claims over original patent
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$ 284.00

\*\*or number previously paid, if greater; For Reissues, see above

Complete if Known

Application Number

Filing Date

First Named Inventor

Ivan A. Aksenov

Examiner Name

(not assigned)

Group Art Unit

Attorney Docket Number

AFD 639

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner Action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** \$ 0

## SUBMITTED BY

Complete (if applicable)

Typed or Printed Name	GERALD B. HOLLINS	Registration. No.	25,452	Telephone	(937) 255-2838
Signature	Gerald B Hollins	Date			Oct 21, 2003
Typed or Printed Name		Registration. No.		Telephone	
Signature		Date			

<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Ivan A. Aksenov
	Title	FILTERED CATHODIC-ARC PLASMA SOURCE
	Atty Docket Number	AFD 639

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 1.22(b).

Oct 21, 2003  
Date

Gerald B. Hollins  
Signature

GERALD B. HOLLINS  
Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and be submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 US.C. 122(b)(2)(B)(iii)).**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Ivan A. Aksenov et al

Group Art Unit:

Serial No.: (AFD 639)

Examiner: (not assigned)

Filed:

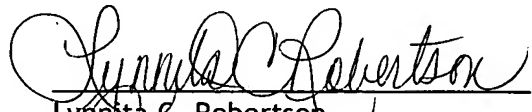
For: FILTERED CATHODIC-ARC PLASMA SOURCE

**CERTIFICATE OF MAILING**  
**BY "EXPRESS MAIL" UNDER 37 CFR 1.10**

"Express Mail" mailing label number EE 380648395 US

Date of Deposit: October 21, 2003

I certify that this patent application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above from AFMCLO/JAZ, Bldg 11, Room 100, 2240 B Street, Wright-Patterson Air Force Base, Ohio 45433-7109 and is addressed to MS Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria VA 22313-1450.

  
Lynnda C. Robertson  
Legal Instruments Examiner

L.C. Robertson  
937/255-2838